



Sheet 1 of 2

INFORMATION DISCLOSURE CITATION LIST	Docket No.: 3753/6	Application No.: 09/507,360
	Applicants: David R. Gottstein	
	Filing Date: February 18, 2000	Group Art Unit: 2165 3624

U.S. PATENT DOCUMENTS

Exam. Init.	Document Number	Date	Name	Class	Subclass
<i>DR</i>	5,987,433	11/16/99	Crapo		<i>RECEIVED</i>
	5,978,778	11/2/99	O'Shaughnessy		
	5,893,079	4/6/99	Cwenar		APR 16 2001
	5,864,828	1/26/99	Atkins		Group 2100
	5,852,811	12/22/98	Atkins		
	5,806,049	9/8/98	Petruzzi		
	5,806,048	9/8/98	Kiron et al.		

FOREIGN PATENT DOCUMENTS

Exam. Init.	Document Number	Date	Country	Class	Translation

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

<i>DR</i>	Apelfeld et al., "Tax-Aware Equity Investing", Journal of Portfolio Management, v22, n2, p18 (11), Winter 1996
<i>DR</i>	Brunel, Jean L.P., "The Upside-Down World of Tax-Aware Investing", Trusts & Estates, 136, n3, 34 (8), February, 1997

Examiner: <i>DR</i>	Date Considered: <i>8-20-03</i>
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Sheet 2 of 2

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U.S. PATENT DOCUMENTS

Exam. Init.	Document Number	Date	Name	Class	Subclass
DR	5,802,501	9/1/98	Graff	—	RECEIVED
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DR	Price, Lee N., "Maximizing and Reporting a Portfolio's After-Tax Performance", Trusts & Estates, 136, n3, 55 (5), February, 1997
DR	PR Newswire, "Prudential Introduces the Prudential Tax-Managed Equity Fund; Fund Seeks Long-Term After-Tax Growth of Capital", January 27, 1999
DR	Stein, David M., "Measuring and Evaluating Portfolio Performance After Taxes", Journal of Portfolio Management, v24, n2, p117 (8), Winter 1998

Examiner: DR	Date Considered: 8-20-03
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